

CUSTOMER CLAIM

Claim Number _____

Date Received _____

BERNARD L. MADOFF INVESTMENT SECURITIES LLC

In Liquidation

DECEMBER 11, 2008

(Please print or type)

Name of Customer: Harold A. Thau IRA (NTC & Co. FBO Harold A. Thau)

Mailing Address: c/o Redstone Accounting Services, Inc., 25 Sylvan Rd. South - Building B

City: Westport State: CT Zip: 06880

Account No: 1ZR261

Taxpayer I.D. Number (Social Security No.): Redacted

NOTE: BEFORE COMPLETING THIS CLAIM FORM, BE SURE TO READ CAREFULLY THE ACCOMPANYING INSTRUCTION SHEET. A SEPARATE CLAIM FORM SHOULD BE FILED FOR EACH ACCOUNT AND, TO RECEIVE THE FULL PROTECTION AFFORDED UNDER SIPA, ALL CUSTOMER CLAIMS MUST BE RECEIVED BY THE TRUSTEE ON OR BEFORE March 4, 2009. CLAIMS RECEIVED AFTER THAT DATE, BUT ON OR BEFORE July 2, 2009, WILL BE SUBJECT TO DELAYED PROCESSING AND TO BEING SATISFIED ON TERMS LESS FAVORABLE TO THE CLAIMANT. PLEASE SEND YOUR CLAIM FORM BY CERTIFIED MAIL - RETURN RECEIPT REQUESTED.

1. Claim for money balances as of **December 11, 2008:**

a. The Broker owes me a Credit (Cr.) Balance of \$ 0

b. I owe the Broker a Debit (Dr.) Balance of \$ 0

c. If you wish to repay the Debit Balance,
please insert the amount you wish to repay and
attach a check payable to "Irving H. Picard, Esq.,
Trustee for Bernard L. Madoff Investment Securities LLC."
If you wish to make a payment, it must be enclosed
with this claim form. \$ N/A

d. If balance is zero, insert "None." None

2. Claim for securities as of **December 11, 2008:**

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

- | | YES | NO |
|---|-------------------|-------------------|
| a. The Broker owes me securities | <u>✓</u> | <u> </u> |
| b. I owe the Broker securities | <u> </u> | <u>✓</u> |
| c. If yes to either, please list below: | | |

Date of Transaction (trade date)	Name of Security	Number of Shares or Face Amount of Bonds	
		The Broker Owes Me (Long)	I Owe the Broker (Short)

See Nov. 30, 2008 1ZR261 statements, attached hereto as Exhibit A.

\$ 5,368,204.81 (market value of securities long, per 1ZR261-3 statement)

\$ 188,100.00 (market value of securities long, per 1ZR261-4 statement)

(\$ 265,620.00) (market value of securities short, per 1ZR261-4 statement)

TOTAL: \$ 5,290,684.81

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

See Exhibits A and B, and documents submitted herewith.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

PLEASE CHECK THE APPROPRIATE ANSWER FOR ITEMS 3 THROUGH 9.

NOTE: IF "YES" IS MARKED ON ANY ITEM, PROVIDE A DETAILED EXPLANATION ON A SIGNED ATTACHMENT. IF SUFFICIENT DETAILS ARE NOT PROVIDED, THIS CLAIM FORM WILL BE RETURNED FOR YOUR COMPLETION.

	<u>YES</u>	<u>NO</u>
3. Has there been any change in your account since December 11, 2008? If so, please explain.	_____	_____✓
4. Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?	_____	_____✓
5. Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?	_____	_____✓
6. Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s).	_____	_____✓
7. Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.	_____	_____✓
8. Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.	_____	_____✓
9. Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.	_____	_____✓

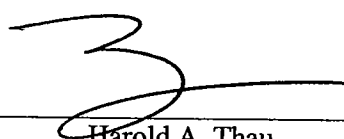
Please list the full name and address of anyone assisting you in the preparation of this claim form: Matthew A. Kupillas, Esq., Milberg LLP, One Pennsylvania Plaza, New York, NY 10119

If you cannot compute the amount of your claim, you may file an estimated claim. In that case, please indicate your claim is an estimated claim.

IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date 6/8/09 Signature _____


Harold A. Thau

Date _____ Signature _____

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

**This customer claim form must be completed and mailed promptly,
together with supporting documentation, etc. to:**

Irving H. Picard, Esq.,
Trustee for Bernard L. Madoff Investment Securities LLC
Claims Processing Center
2100 McKinney Ave., Suite 800
Dallas, TX 75201

EXHIBIT A

Affiliated with
Madoff Securities International Limited
12 Berkeley Street
Mayfair, London W1J 8DT
Tel 020 7493 6222

885 Third Avenue
New York, NY 10022
(212) 230-2424
800 334-1343
Fax (212) 838-4061

BERNARD L. MADOFF
INVESTMENT SECURITIES LLC
New York □ London

DUPLICATE FOR ACCOUNT NTC & CO.
HAROLD THAU IRA

25 SYLVAN RD SO BLDG B CT 06880
WESTPORT

YOUR ACCOUNT NUMBER
1-2R261-3-0

PERIOD ENDING
11/30/08

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YOUR TAX PAYER IDENTIFICATION NUMBER
*****6253

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	4,788			BALANCE FORWARD		314,423.32	
11/12	3,420		1859	WELLS FARGO & CO NEW	29.800	142,873.40	
11/12	2,964		2361	HEWLETT PACKARD CO	34.900	119,494.00	
11/12	1,938		6185	WAL-MART STORES INC	55.830	155,598.12	
11/12	7,182		6387	INTERNATIONAL BUSINESS MACHS	87.270	169,206.26	
11/12	7,866		10511	EXXON MOBIL CORP	72.880	523,711.16	
11/12	3,762		11013	INTEL CORP	14.510	114,449.66	
11/12	5,130		15339	JOHNSON & JOHNSON	59.580	224,289.96	
11/12	2,735		19664	J.P. MORGAN CHASE & CO	38.530	197,863.90	
11/12	2,964		23990	COCA COLA CO	44.660	122,298.76	
11/12	1,596		28316	MCDONALDS CORP	55.370	88,433.52	
11/12	2,964		32642	MERCK & CO	28.550	84,740.20	
11/12	10,830		36968	MICROSOFT CORP	21.810	236,635.30	
11/12	5,472		41294	BRACLE CORPORATION	17.300	94,883.60	
11/12	2,166		54272	PEPSICO INC	56.410	122,270.06	
11/12	1,254		54774	APPLE INC	100.780	126,428.12	
11/12	9,234		58598	PFIZER INC	16.940	156,792.96	
11/12	2,166		59100	ABBOTT LABORATORIES	54.610	118,371.26	
11/12	4,104		62924	PROCTER & GAMBLE CO	64.080	263,148.32	
11/12	1,482		63426	AMGEN INC	59.160	87,734.12	
11/12	2,850		67250	PHILLIP MORRIS INTERNATIONAL	43.600	124,374.00	
11/12	6,840		67752	BANK OF AMERICA	21.590	147,948.60	
11/12	2,280		71576	QUALCOMM INC	33.770	77,086.60	
11/12	7,410		72078	CITI GROUP INC	12.510	92,995.10	
				CONTINUED ON PAGE 2			

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES

BERNARD L. MADOFF
INVESTMENT SECURITIES LLC
New York □ London

****DUPLICATE** FOR ACCOUNT NTC & CO.**
HAROLD THAU IRA

885 Third Avenue
New York, NY 10022
(212) 230-2424
800 334-1343
Fax (212) 838-4061

25 SYLVAN RD SO BLDG B CT 06880
WESTPORT

Affiliated with
Madoff Securities International Limited
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Mayfair, London W1J 8DT
Tel 020 7493 6222

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DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	1,710		75902	SCHLUMBERGER LTD	49.480	84,678.80	
11/12	4,104		76404	COMCAST CORP CL A	16.510	67,921.04	
11/12	8,094		80228	AT&T INC	27	218,861.00	
11/12	2,052		80730	CONOCOPHILIPS	52.510	107,832.52	
11/12	1,368		84554	UNITED PARCEL SVC INC	52.040	71,244.72	
11/12	8,322		85056	CLASS B			
11/12	2,394		88880	CISCO SYSTEMS INC	16.730	139,559.06	
11/12	2,850		89382	U S BANCORP	29.530	70,789.82	
11/12	1,368		93206	CHEVRON CORP	73.430	209,389.50	
11/12	14,478		93708	UNITED TECHNOLOGIES CORP	55.160	72,776.88	
11/12	3,876		97532	GENERAL ELECTRIC CO	19.630	284,782.14	
11/12	342		98034	VERIZON COMMUNICATIONS	30.410	118,024.16	
11/12		5,075,000	24465	GOOGLE	337.400	115,403.80	5,071,752.00
11/12				U S TREASURY BILL DUE 2/12/2009	99.936		
11/12				2/12/2009			
11/12				FIDELITY SPARTAN	DIV		112.68
11/12		117,923	19569	U S TREASURY MONEY MARKET DIV 11/12/08	1		117,923.00
11/12	3,869		28937	FIDELITY SPARTAN	1	3,859.00	
11/19				FIDELITY SPARTAN	DIV		.47
CONTINUED ON PAGE 3							

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DATE	BOUGHT RECEIVED ON LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/19		3,869	54485	FIDELITY SPARTAN	1		3,869.00
11/19	325,000		58886	U S TREASURY MONEY MARKET U S TREASURY BILL DUE 03/26/2009	99.926	324,759.50	
11/19	20,654		63521	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	20,654.00	
				NEW BALANCE		632,939.09	
	8,094			SECURITY POSITIONS	MKT PRICE		
	2,166			AT&T INC	28.560		
	1,482			ABBOTT LABORATORIES	52.390		
	1,254			AMGEN INC	55.540		
	6,840			APPLE INC	82.670		
	2,850			BANK OF AMERICA	16.250		
	8,322			CHEVRON CORP	79.010		
	7,410			CISCO SYSTEMS INC	16.540		
	2,736			CITI GROUP INC	8.290		
	4,104			COCA COLA CO	46.870		
				COMCAST CORP	17.340		
				CL A			
	2,052			CONOCOPHILIPS	52.520		
	7,182			EXXON MOBIL CORP	80.150		
	14,478			GENERAL ELECTRIC CO	17.170		
				CONTINUED ON PAGE 4			

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DATE	BOUGHT RECEIVED OR LONG	DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	342			GOOGLE	292.960		
	3,420			HEWLETT PACKARD CO	35.280		
	7,866			INTEL CORP	13.800		
	1,938			INTERNATIONAL BUSINESS MACHS	81.600		
	5,130			J.P. MORGAN CHASE & CO	31.660		
	3,762			JOHNSON & JOHNSON	58.580		
	1,596			MCDONALDS CORP	58.750		
	2,964			MERCK & CO	26.720		
	10,830			MICROSOFT CORP	20.220		
	5,472			ORACLE CORPORATION	16.090		
	2,166			PEPSICO INC	58.700		
	9,234			PFIZER INC	16.430		
	2,850			PHILLIP MORRIS INTERNATIONAL	42.160		
	4,104			PROCTER & GAMBLE CO	64.350		
	2,280			QUALCOMM INC	33.570		
	1,710			SCHLUMBERGER LTD	50.740		
	20,654			FIDELITY SPARTAN	1		
				U S TREASURY MONEY MARKET			
	2,394			U S BANCORP	26.980		
	1,368			UNITED PARCEL SVC INC	57.600		
				CLASS B			
	325,000			U S TREASURY BILL	99.971		
				DUE 03/26/2009			
				3/26/2009			
	1,368			UNITED TECHNOLOGIES CORP	48.530		
				CONTINUED ON PAGE 5			

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	3,876 2,964 4,788			VERIZON COMMUNICATIONS WAL-MART STORES INC WELLS FARGO & CO NEW	32.650 55.880 28.890		
				MARKET VALUE OF SECURITIES LONG 5,368,720.82			
				SHORT			

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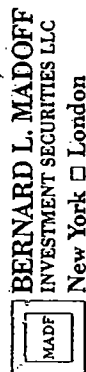
BERNARD L. MADOFF
INVESTMENT SECURITIES LLC
New York □ London
****DUPLICATE** FOR ACCOUNT NTC & CO.**
HAROLD THAU IRA

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YOUR TAXPAYER IDENTIFICATION NUMBER *******6253**
YOUR ACCOUNT NUMBER **1-7R261-3-0**

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
				YEAR-TO-DATE SUMMARY			
				DIVIDENDS			35,385.65
				GROSS PROCEEDS FROM SALES			297,809,292.17

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES



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11/30/08

YOUR ACCOUNT NUMBER
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11/12				BALANCE FORWARD			314,424.00
11/12	114	114	45620	S & P 100 INDEX NOVEMBER 460 CALL	15.800		180,006.00
11/19			49946	S & P 100 INDEX NOVEMBER 450 PUT	17.800	203,034.00	
11/19		114	36050	S & P 100 INDEX DECEMBER 430 CALL	25		296,286.00
11/19	114		40375	S & P 100 INDEX DECEMBER 420 PUT	30	342,114.00	
11/19	114		44708	S & P 100 INDEX NOVEMBER 460 CALL	37	34,314.00	
11/19		114	49025	S & P 100 INDEX NOVEMBER 450 PUT			421,686.00
				NEW BALANCE			632,940.00
				SECURITY POSITIONS	MKT PRICE		
		114		S & P 100 INDEX DECEMBER 430 CALL	23.300		
	114			S & P 100 INDEX DECEMBER 420 PUT	16.500		
				MARKET VALUE OF SECURITIES			
				LONG			188,100.00
				SHORT			265,620.00

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES

EXHIBIT B

EXHIBIT B

1. This Claim Form, exhibits, and supporting documentation (collectively "Claim Form") is submitted pursuant to the December 23, 2008 Order of the Honorable Burton R. Lifland and the instructions disseminated by Irving H. Picard, Trustee for Bernard L. Madoff Investment Securities LLC ("Trustee"), on December 11, 2008.
2. The information provided in the Claim Form is based on the information provided in the Claimant's latest Madoff account statement and any additional information known by the Claimant as of the date of the submission of the Claim Form. The Claimant reserves the right to amend and/or supplement this Claim Form upon the receipt of further information, or upon request by the Trustee for additional information.
3. The Claimant reserves the right to amend the Claim Form in the event of any recoveries by the Trustee or any other party under the avoidance powers of the Bankruptcy Code or otherwise, or in the event of rejections of executory contracts pursuant to Bankruptcy Code Section 365, whether such amendments are made pursuant to Bankruptcy Code Sections 105, 502(g), or 502(h), Bankruptcy Rule 3002(c)(3), (4), other provisions of applicable bankruptcy law, or general principles of law and equity.
4. The Claimant hereby requests that the Claim Form be considered as a proof of claim in *In re Bernard L. Madoff Investment Securities LLC*, No. 08-01789 (Bankr. S.D.N.Y.).
5. This Claim Form is required to be submitted pursuant to the Court's January 2, 2009 Order and the Trustee's instructions to the Claimant. To the extent permitted by the applicable law, the Claimant does not consent to the jurisdiction of the Bankruptcy Court nor does Claimant waive any right to trial by jury.
6. The Claimant reserves all rights, claims, and/or defenses as to and/or against any and all parties potentially liable for the losses sustained by the Claimant, including, without limitation, Bernard L. Madoff Investment Securities LLC and its owners, partners, employees, and affiliates, as well as any potentially liable third parties including, without limitation, investment advisors, "feeder funds," accountants, and auditors.
7. The Claimant further reserves all rights, claims, and/or defenses as to and/or against any persons and/or creditors asserting claims against Bernard L. Madoff Investment Securities LLC, its employees, owners, and/or affiliates, in bankruptcy or otherwise.
8. The Claimant reserves all objections as to the competence, relevance, materiality, privilege, or admissibility of evidence in any subsequent proceeding or trial of this or any other action for any purpose whatsoever, notwithstanding the submission of any such information to the Trustee.
9. To the extent the Claimant has disclosed to the Trustee documents containing accounting and/or legal advice, the Claimant does not waive any potential privileges applicable thereto.

Claimant: *Harold A. Thau IRA (NTC & Co. FBO Harold A. Thau) (Account no. 1ZR261)*

10. The Claimant reserves all rights with respect to submitting information to the Internal Revenue Service regarding gains, losses, and/or theft of assets.
11. The Claim Form and supporting documents contain confidential information. The Claimant submits this information to the Trustee subject to the condition that this information will not to be disclosed to any third parties, other than under seal to the Court, absent the Claimant's express consent or Court order.
12. During the lifetime of the account, the Claimant may have contributed and/or withdrawn sums of money. The Claimant's final account balance set forth in Exhibit A takes into account any such contributions and/or withdrawals. Claimant continues to search for additional documents relating to such contributions or withdrawals and reserves the right to supplement this submission if additional documents are found.
13. The Claimant submits herewith documents in support of the Claimant's claim. The Claimant reserves any arguments that such documents are not relevant to the Trustee's inquiry. The Claimant further reserves the right to supplement this submission, including the submission of additional documents if deemed necessary. Below is a list of the documents submitted herewith:

2008

- BMIS account statements for time period ending 11/30/08.
- BMIS account statements for time period ending 10/31/08.
- BMIS account statements for time period ending 09/30/08.

**DOCUMENTS SUBMITTED
WITH THE CLAIM OF**

**HAROLD A. THAU IRA
(NTC & CO. FBO
HAROLD A. THAU)**

(Account no. 1ZR261)

Affiliated with
Madoff Securities International Limited
12 Berkeley Street
Mayfair, London W1J 8DT
Tel 020 7493 6222

885 Third Avenue
New York, NY 10022
(212) 230-2424
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Fax (212) 838-4061

BERNARD L. MADOFF
INVESTMENT SECURITIES LLC
New York □ London

DUPLICATE FOR ACCOUNT NTC & CO.
HAROLD THAU IRA

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SENDING
9/30/08

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9/02				BALANCE FORWARD		115,677.43	
9/09				WAL-MART STORES INC DIV 8/15/08 9/02/08	DIV		592.33
9/09				JOHNSON & JOHNSON DIV 8/26/08 9/09/08	DIV		1,384.60
9/10				UNITED PARCEL SVC INC CLASS B DIV 8/25/08 9/09/08	DIV		503.10
9/10				FIDELITY SPARTAN U S TREASURY MONEY MARKET DIV 09/10/08	DIV		35.85
9/10				CHEVRON CORP DIV 8/19/08 9/10/08	DIV		1,397.50
9/10				UNITED TECHNOLOGIES CORP DIV 8/15/08 9/10/08	DIV		330.24
9/10		33,732	85243	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1		33,732.00
9/11	24,652		90314	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	24,652.00	
9/11				MICROSOFT CORP DIV 8/21/08 9/11/08	DIV		936.54
9/16	43,774		95513	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	43,774.00	
9/16				MCDONALDS CORP DIV 9/02/08 9/16/08	DIV		451.50
				CONTINUED ON PAGE 2			

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BERNARD L. MADOFF
INVESTMENT SECURITIES LLC
New York □ London

****DUPLICATE** FOR ACCOUNT NTC & CO.
HAROLD THAU IRA**

25 SYLVAN RD SO BLDG B CT 06880
WESTPORT

9/30/08
1-ZR261-3-0
*****6253

DATE	BOUGHT RECEIVED/ENDING	QUANTITY DEBITED/ENDING	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT/DEBITED PROYDOR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/17		4,214	11510	ORACLE CORPORATION	19.310		✓81,204.34
9/17		946	12705	APPLE INC	150.770		✓142,591.42
9/17		1,720	15808	PEPSICO INC	72.460		✓124,563.20
9/17		1,634	17003	ABBOTT LABORATORIES	58.960		✓96,275.64
9/17		7,224	20106	PFIZER INC	18.360		✓132,344.64
9/17		2,838	21263	AMERICAN INTL GROUP INC	15.290		✓43,280.02
9/17		1,268	24404	PROCTER & GAMBLE CO	72.780		✓237,715.04
9/17		1,204	25550	AMGEN INC	65.820		✓76,189.28
9/17		2,236	28702	PHILLIP MORRIS INTERNATIONAL	54.170		✓121,035.12
9/17		5,074	29849	BANK OF AMERICA	33.040		✓167,442.96
9/17		1,720	33000	UBALCOMM INC	83.590		✓83,162.80
9/17		5,794	34146	CITY GROUP INC	18.220		✓107,880.48
9/17		1,290	37298	SCHLUMBERGER LTD	87.210		✓112,449.90
9/17		1,634	38444	CONOCOPHILIPS	72.510		✓118,416.34
9/17		6,536	41596	AT&T INC	51.370		✓204,773.32
9/17		6,536	42742	CISCO SYSTEMS INC	25.050		✓146,436.20
9/17		1,118	45873	UNITED PARCEL SVC INC	67.860		✓75,823.48
9/17		2,150	47040	CLASS B			
9/17		1,032	50115	CHEVRON CORP	83.210		✓178,815.50
9/17		10,750	51338	UNITED TECHNOLOGIES CORP	63.720		✓65,718.04
9/17		3,096	54413	GENERAL ELECTRIC CO	27.440		✓294,550.00
9/17		258	55636	VERIZON COMMUNICATIONS	34.570		✓106,905.72
9/17		3,698	58711	GOOGLE	432.200		✓1,111,497.60
9/17		430	59934	WELLS FARGO & CO NEW	33.390		✓123,329.22
9/17				GOLDMAN SACHS GROUP INC	154.700		✓66,504.00
				CONTINUED ON PAGE 3			

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HAROLD THAU IRA

25 SYLVAN RD SO BLDG B CT 06880
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YOUR ACCOUNT NUMBER
1-ZR261-3-0

YOUR TAX IDENTIFICATION NUMBER
*****6253

9/30/08

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DATE	AMOUNT RECEIVED/PAID	AMOUNT RECEIVED/PAID	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/17		2,494	63009	WAL-MART STORES INC	62.470		155,701.78
9/17		2,666	64232	HENLETT PACKARD CO	46.880		124,876.08
9/17		5,590	67307	EXXON MOBIL CORP	76.080		425,064.20
9/17		1,462	68530	INTERNATIONAL BUSINESS MACHS	118.800		173,627.60
9/17		6,192	72828	INTEL CORP	19.970		123,407.24
9/17		3,010	77126	JOHNSON & JOHNSON	71.150		214,041.50
9/17		3,784	81423	J.P. MORGAN CHASE & CO	40.930		174,728.12
9/17		2,150	85721	COCA-COLA CO	53.790		115,562.50
9/17		1,204	90019	MCDONALDS CORP	64.430		77,525.72
9/17		2,322	94317	MERCK & CO	34.160		79,227.52
9/17		5,514	98615	MICROSOFT CORP	27.420		233,113.88
9/17	5,045,000		85625	U.S. TREASURY BILL DUE 2/12/2009	99.511	5,050,183.25	
9/17	9,684		90123	FIDELITY SPARTAN U.S. TREASURY MONEY MARKET	1	9,684.00	
9/19				AMERICAN INTL GROUP INC DIV 9/05/08 9/19/08	DIV		624.36
9/26				BANK OF AMERICA DIV 9/05/08 9/26/08	DIV		3,247.36
9/26				QUALCOMM INC DIV 8/29/08 9/26/08	DIV		275.20
9/30				PEPSICO INC DIV 9/05/08 9/30/08	DIV		731.00
9/30	10,474		98255	FIDELITY SPARTAN U.S. TREASURY MONEY MARKET	1	10,474.00	
				CONTINUED ON PAGE 4			

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80/05/16
PERIOD: 80/05/16

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DATE	BOUGHT RECEIVED OR LONG	SAID DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR MARKET PRICE OR MARKET	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	88,584			NEW BALANCE		314,423.30	
				SECURITY POSITIONS	MKT PRICE		
				FIDELITY SPARTAN	1		
	5,075,000			U.S. TREASURY MONEY MARKET	99.610		
				U.S. TREASURY BILL			
				DUE 2/12/2009			
				2/12/2009			
				MARKET VALUE OF SECURITIES			
				LONG			
				5,143,791.50			
				SHORT			

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HAROLD THAU IRA

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DATE	BOUGHT RECEIVED ON LONG	BOUGHT RECEIVED ON SHORT	IRIN	DESCRIPTION	PRICE/SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/10	86			BALANCE FORWARD			115,678.00
9/11		86	79913	S & P 100 INDEX SEPTEMBER 600 CALL	1-050	9,216.00	
9/17		86	7212	S & P 100 INDEX SEPTEMBER 590 PUT	5-100		43,774.00
9/17				S & P 100 INDEX SEPTEMBER 600 CALL	20	7,826.00	
				NEW BALANCE	•900		173,914.00
							314,422.00

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1-28261-3-0

PERIOD ENDING
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DATE	BOUGHT (RECEIVED OR LONG)	SOLD (DELIVERED OR SHORT)	TIN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
10/01				BALANCE FORWARD		314,423.30	817.00
10/01				GBCA COLA CO DIV 9/15/08 10/01/08	DIV		213.28
10/01				HEWLETT PACKARD CO DIV 9/10/08 10/01/08	DIV		882.36
10/03				MERCK & CO DIV 9/05/08 10/01/08	DIV		270.90
10/10				SCHLUMBERGER LTD DIV 9/03/08 10/03/08	DIV		207.44
10/28	25,948		5456	CHECK WIRE FIDELITY SPARTAN	CA	25,948.00 ✓	✓ 25,948.00
10/28	3,391		10749	U S TREASURY MONEY MARKET FIDELITY SPARTAN		3,391.00	
10/31				NEW BALANCE		314,423.32	
	117,923			SECURITY POSITIONS FIDELITY SPARTAN	MKT PRICE		
	5,075,000			U S TREASURY MONEY MARKET U S TREASURY BILL	99-879		
				DUE 2/12/2009			
				MARKET VALUE OF SECURITIES LONG			
				SHORT			
				5,186,782.25			

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HAROLD THAU IRA

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DUPLICATE FOR ACCOUNT NYC & CO.
HAROLD THAU IRA

25 SYLVAN RD SO BLDG B CT 06880
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DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	4,788		1859	BALANCE FORWARD		314,423.32	
11/12	3,420		2361	WELLS FARGO & CO NEW	29.800	142,873.40	
11/12	2,964		6185	HEWLETT PACKARD CO	34.900	119,494.00	
11/12	1,938		6687	WAL-MART STORES INC	55.830	165,598.12	
11/12	7,182		10511	INTERNATIONAL BUSINESS MACHS	87.270	169,206.26	
11/12	7,866		11013	EXXON MOBIL CORP	72.880	523,711.16	
11/12	3,762		15339	INTEL CORP	14.510	114,449.66	
11/12	5,130		19664	JOHNSON & JOHNSON	59.580	224,289.96	
11/12	2,736		23990	J.P. MORGAN CHASE & CO	38.530	197,863.90	
11/12	1,596		28316	COCA COLA CO	44.660	122,298.76	
11/12	2,964		32642	MCDONALDS CORP	55.370	88,433.52	
11/12	10,830		36968	MERCK & CO	28.550	84,740.20	
11/12	5,472		41294	MICROSOFT CORP	21.810	236,635.30	
11/12	2,166		54272	ORACLE CORPORATION	17.300	94,883.60	
11/12	1,254		54774	PEPSICO INC	56.410	122,270.06	
11/12	9,234		58598	APPLE INC	100.780	126,428.12	
11/12	2,166		59100	PFIZER INC	16.940	156,792.96	
11/12	4,104		62924	ABBOTT LABORATORIES	54.610	118,371.26	
11/12	1,482		63426	PRDCTER & GAMBLE CO	64.080	263,148.32	
11/12	2,850		67250	AMGEN INC	59.160	87,734.12	
11/12	6,840		67752	PHILLIP MORRIS INTERNATIONAL	43.600	124,374.00	
11/12	2,280		71576	BANK OF AMERICA	21.590	147,948.60	
11/12	7,410		72078	QUALCOMM INC	33.770	77,086.60	
11/12				CITI GROUP INC	12.510	92,995.10	
				CONTINUED ON PAGE 2			

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****DUPLICATE** FOR ACCOUNT NTC & CO.
HAROLD THAU IRA**

25 SYLVAN RD SO BLDG B CT 06880
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YOUR ACCOUNT NUMBER
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DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	1,710		75902	SCHLUMBERGER LTD	49.480	84,678.80	
11/12	4,104		76404	COMCAST CORP CL A	16.510	67,921.04	
11/12	8,094		80228	AT&T INC	27	218,861.00	
11/12	2,052		80730	CONOCOPHILIPS	52.510	107,832.52	
11/12	1,368		84554	UNITED PARCEL SVC INC	52.040	71,244.72	
11/12	8,322		85056	CLASS B			
11/12	2,394		88880	CISCO SYSTEMS INC	16.730	139,559.06	
11/12	2,850		89382	U S BANCORP	29.530	70,789.82	
11/12	1,368		93206	CHEVRON CORP	73.430	209,389.50	
11/12	14,478		93708	UNITED TECHNOLOGIES CORP	53.160	772,776.88	
11/12	3,876		97532	GENERAL ELECTRIC CO	19.630	284,782.14	
11/12	342		98034	VERIZON COMMUNICATIONS	30.410	118,024.16	
11/12			24465	GOOGLE	337.400	115,403.80	
11/12				U S TREASURY BILL	99.936		5,071,752.00
11/12				DUE 2/12/2009			
11/12				2/12/2009			
11/12				FIDELITY SPARTAN	DIV		112.68
11/12				U S TREASURY MONEY MARKET			
11/12			19569	DIV 11/12/08	1		117,923.00
11/12	3,869		28937	FIDELITY SPARTAN	1	3,859.00	
11/12				U S TREASURY MONEY MARKET			
11/12				FIDELITY SPARTAN			
11/12				U S TREASURY MONEY MARKET			
11/12				FIDELITY SPARTAN			
11/12				U S TREASURY MONEY MARKET			
11/12				DIV 11/19/08	DIV		•47
11/19				CONTINUED ON PAGE 3			

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DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/19		3,869	54485	FIDELITY SPARTAN	1		3,869.00
11/19	325,000		58886	U S TREASURY MONEY MARKET	99.926	324,759.50	
11/19	20,654		63521	U S TREASURY BILL DUE 03/26/2009 3/26/2009	1	20,654.00	
				FIDELITY SPARTAN			
				U S TREASURY MONEY MARKET		632,939.09	
				NEW BALANCE			
				SECURITY POSITIONS	MKT PRICE		
	8,094			AT&T INC	28.560		
	2,166			ABBOTT LABORATORIES	52.390		
	1,482			AMGEN INC	55.540		
	1,254			APPLE INC	92.670		
	6,840			BANK OF AMERICA	18.250		
	2,850			CHEVRON CORP	79.010		
	8,322			CISCO SYSTEMS INC	16.540		
	7,410			CITI GROUP INC	8.290		
	2,736			COCA COLA CO	46.870		
	4,104			COMCAST CORP	17.340		
				CL A			
	2,052			CONDOPHILIPS	52.520		
	7,182			EXXON MOBIL CORP	80.150		
	14,478			GENERAL ELECTRIC CO	17.170		
				CONTINUED ON PAGE 4			

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	342			GOOGLE	292.960		
	3,420			HEWLETT PACKARD CO	25.280		
	7,866			INTEL CORP	13.800		
	1,938			INTERNATIONAL BUSINESS MACHS	81.600		
	5,130			J.P. MORGAN CHASE & CO	31.660		
	3,762			JOHNSON & JOHNSON	58.580		
	1,596			MCDONALDS CORP	58.750		
	2,964			MERCK & CO	26.720		
	10,830			MICROSOFT CORP	20.220		
	5,472			ORACLE CORPORATION	16.090		
	2,166			PEPSICO INC	56.700		
	9,234			PFIZER INC	16.430		
	2,850			PHILLIP MORRIS INTERNATIONAL	42.160		
	4,104			PROCTER & GAMBLE CO	64.350		
	2,280			QUALCOMM INC	33.570		
	1,710			SCHLUMBERGER LTD	50.740		
	20,654			FIDELITY SPARTAN	1		
				U S TREASURY MONEY MARKET	26.980		
	2,394			U S BANCORP	57.600		
	1,368			UNITED PARCEL SVC INC	99.971		
	325,000			CLASS B			
				U S TREASURY BILL			
				DUE 03/26/2009			
				3/26/2009			
	1,368			UNITED TECHNOLOGIES CORP	48.530		
				CONTINUED ON PAGE 5			

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DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	3,876 2,964 4,788			VERIZON COMMUNICATIONS WAL-MART STORES INC WELLS FARGO & CO NEW	32.650 55.880 28.890		
				MARKET VALUE OF SECURITIES LONG 5,368,203.81			
				SHORT			

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YOUR TAX PAYER IDENTIFICATION NUMBER *****6253		

DATE	BOUGHT RECEIVED ON LONG	SOLD DELIVERED ON SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12				BALANCE FORWARD			314,424.00
11/12		114	45620	S & P 100 INDEX	15.800		180,006.00
11/12	114		49946	NOVEMBER 460 CALL	17.800	203,034.00	
11/19		114	36050	S & P 100 INDEX	25		296,286.00
11/19	114		40375	NOVEMBER 450 PUT	30	342,114.00	
11/19	114		42700	DECEMBER 430 CALL	37	37,314.00	
11/19		114	49025	S & P 100 INDEX			421,686.00
11/19				NOVEMBER 420 PUT			632,940.00
				NEW BALANCE			
				SECURITY POSITIONS	MKT PRICE		
		114		S & P 100 INDEX	23.300		
	114			DECEMBER 430 CALL	16.500		
				S & P 100 INDEX			
				DECEMBER 420 PUT			
				MARKET VALUE OF SECURITIES			
				LONG			
				SHORT			
				188,100.00			
				265,620.00-			

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES